

Docket No. 3598720 3581

## CERTIFICATE OF MAILING BY "FIRST CLASS MAIL"

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Patricia Johnson

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

Gilles H. TAPOLSKY and David W.

OSBORNE

Serial No.: 09/684,682

Filing Date: October 4, 2000

For: PHARMACEUTICAL CARRIER

DEVICE SUITABLE FOR DELIVERY

OF PHARMACEUTICAL COMPOUNDS TO MUCOSAL

**SURFACES** 

Examiner: To Be Assigned

Group Art Unit: 1617

## INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. § 1.97

**Assistant Commissioner for Patents** Washington, D.C. 20231

Dear Sir:

Pursuant to 37 C.F.R. § 1.97 and § 1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. Copies of the documents were previously submitted in an Information Disclosure Statement and/or Office Action, directed to the related application Serial Number 09/069,703, filed April 29, 1998, and, accordingly, copies are not included herewith. This protocol conforms with 37 C.F.R. §1.98(d) and M.P.E.P. 609(A)(2). The Examiner is requested to make these documents of record in the

application.

This Information Disclosure Statement is submitted:

	With the application; accordingly, no fee or separate requirements are required.					
	Within three months of the application filing date or before mailing of a first Office Action					
	on the merits; accordingly, no fee or separate requirements are required.					
	After receipt of a first Office Action on the merits but before mailing of a final Office					
	Action o	or Notice of Allowance.				
		A fee is required. A check in the amount of * is enclosed.				
		A fee is required. Accordingly, a Fee Transmittal form (PTO/SB/17) is attached				
		to this submission in duplicate.				
		A Certification under 37 C.F.R. § 1.97(e) is provided below; accordingly; no fee				
		is believed to be due.				
	After mailing of a final Office Action or Notice of Allowance, but before payment of the					
	issue fee	e. Accordingly, a Petition requesting consideration of the Information Disclosure				
	Statement, an authorization to charge our deposit account, and a Certification under 37 C.F.R. § 1.97(e) are provided herein.					

Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

The information contained in this Information Disclosure Statement under 37 C.F.R. § 1.97 is to the best of my knowledge and is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by

third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, Applicants petition for any required relief including extensions of time and authorizes the Assistant Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 03-1952** referencing 359872000810. However, the Assistant Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Dated:

June 26, 2001

Respectfully submitted,

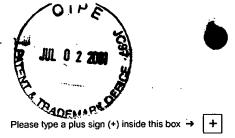
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Registration No. P-48,199

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## Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. 09/684,682 **Application Number** TRANSMITTAL October 4, 2000 **Filing Date FORM** Gilles H. TAPOLSKY **First Named Inventor Group Art Unit** (to be used for all correspondence after initial filing) **Examiner Name** To Be Assigned **Total Number Of Pages In This Submission** 359872000810 Attorney Docket No.

ENCLOSURES (check all that apply)							
Fee Transmittal Form		Assignment Papers (for an Application)		After Allowance Communication to Group			
Fee Attached		Drawing(s)		Appeal Communication to Board of Appeals and Interferences			
Amendment / Reply		Licensing-related Papers		Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)			
After Final		Petition		Proprietary Information			
Affidavits/declara	ations	Petition to Convert to a Provisional Application		Status Letter			
Extension of Time Requ	est	Power of Attorney, Revocation Change of Correspondence Address	×	Other Enclosure(s) (please identify below):			
		Terminal Disclaimer		Form PTO-1449 (3 pages)     Return/receipt postcard.			
Express Abandonment F	Request	Request for Refund					
Information Disclosure S (3 pages)	Statement	CD, Number of CD(s)					
Certified Copy of Priority	Document(s) Rema	arks					
Response to Missing Pa	nrts/						
Response to Mis under 37 CFR 1.							
SIGNATURE OF APPLICANT, ATTORNEY OR AGENT							
I Firm	a A. Amii						
or 755	rrison & Foerster LLP 5 Page Mill Road Io Alto, CA 94304						
Individual Name							
Signature	to Am	Lisa A. Amii, Reg	3. N	o. P 48, 199			
Date Jur	ne 26, 2001						

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> Tatheria Patricia A. Johnson

Burden Hours Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.